



3662
#3
04-442

PATENT
Attorney Docket No.: FIVER-00104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Weiti Wu, *et al.*

Serial No.: 10/015,736

Filed: December 12, 2001

For: **ALL FIBER GAIN FLATTENING
OPTICAL FILTER**

) Group Art Unit: 3662

) Examiner:

) **TRANSMITTAL LETTER**

) 162 N. Wolfe Road
) Sunnyvale, CA 94086
) (408) 530-9700

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Enclosed please find an Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,
HAVERSTOCK & OWENS LLP

Dated: April 3, 2002

By: Jonathan O. Owens
Jonathan O. Owens
Reg. No.: 37,902

Attorneys for Applicants

RECEIVED
APR 10 2002
GROUP 3600

RECEIVED
APR 18 2002
TC 1700

CERTIFICATE OF MAILING (37 CFR § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

HAVERSTOCK & OWENS LLP

Date: 04/03/02 By: Baranish



PATENT
Attorney Docket No.: FIVER-00104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Weiti Wu, *et al.*

Serial No.: 10/015,736

Filed: December 12, 2001

For: **ALL FIBER GAIN FLATTENING
OPTICAL FILTER**

) Group Art Unit: 3662

) Examiner:

) **INFORMATION DISCLOSURE
STATEMENT**

) 162 N. Wolfe Road
) Sunnyvale, CA 94086
) (408) 530-9700

Assistant Commissioner for Patents
Washington, D.C. 20231

RECEIVED

APR 10 2002

GROUP 3600

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

The following printed publications are referred to in the body of the specification:

- U.S. Patent No. 5,583,689;
- U.S. Patent No. 5,473,714;
- U.S. Patent No. 5,260,823;
- U.S. Patent No. 5,067,789; and
- Agrawal, G.P., "Fiber-Optic Communication Systems," Rochester, New York, 1997, pp 414-415.

Applicants have become aware of the following printed publications which may be material to the examination of this application:

- U.S. Patent No. 6,049,777;
- U.S. Patent No. 5,982,799;
- U.S. Patent No. 5,930,436;
- U.S. Patent No. 5,892,615;
- U.S. Patent No. 5,857,053;
- U.S. Patent No. 5,786,915;

CERTIFICATE OF MAILING (37 CFR § 1.8(a)),

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

HAVERSTOCK & OWENS LLP.

- 1 -

Date: 04/07/02 By: *Haverstock*

RECEIVED
APR 18 2002
TC 1700

- U.S. Patent No. 5,717,799;
- U.S. Patent No. 5,696,615;
- U.S. Patent No. 5,689,595;
- U.S. Patent No. 5,627,934;
- U.S. Patent No. 5,568,310;
- U.S. Patent No. 5,530,710;
- U.S. Patent No. 5,513,033;
- U.S. Patent No. 5,499,132;
- U.S. Patent No. 5,473,713;
- U.S. Patent No. 5,467,218;
- U.S. Patent No. 5,430,572;
- U.S. Patent No. 5,415,730;
- U.S. Patent No. 5,363,385;
- U.S. Patent No. 5,333,232;
- U.S. Patent No. 5,321,790;
- U.S. Patent No. 5,311,606;
- U.S. Patent No. 5,283,686;
- U.S. Patent No. 5,210,808;
- U.S. Patent No. 5,179,603;
- U.S. Patent No. 5,170,447;
- U.S. Patent No. 5,115,338;
- U.S. Patent No. 5,054,874;
- U.S. Patent No. 4,931,076;
- U.S. Patent No. 4,758,064;
- Japanese Patent Abstract JP 61-279805;
- Japanese Patent Abstract JP 11-326668;
- Japanese Patent Abstract JP 11-183736;
- Chen, L.R. et al., "Transmission Filters with Multiple Flattened Passbands Based on Chirped Moire Gratings," IEEE Photonics Technology Letters, Vol. 10, No. 9, September 1998, pp 1283-1285;
- Ortega, B. et al., "Accurate tuning of mismatched twin-core fiber filters," Optics Letters, Vol. 23, No. 16, Aug. 15, 1998, pp 1277-1279;

- Ortega, B. et al., "Characteristics of Mismatched Twin-Core Fiber Spectral Filters," IEEE Photonics Technology Letters, Vol. 10, No. 7, Jul. 1998, pp 991-993;
- Haus, H.A., "Waves and Fields in Optoelectronics," Prentice-Hall, Inc., Englewood Cliffs, NJ, 1984, pp 197-234;
- Kawakami, Shojiro et al., "Characteristics of Cutoff Modes in a Symmetrical Five Layer Slab Optical Waveguide with Low-Index Intermediate Layers," Research Institute of Electrical Communication in Japan, Vol. 57-C, No. 9, 1974, pp. 121-128; and
- Safaii, Jazi et al., "Analysis and design of a narrowband all-fiber spectral filter made of step-index and W-type fibers," SOUTHEASTCON '89 Proceedings, Energy and Information Technologies in the Southeast, pp. 1195-1199, vol. 3, NY, NY.

This Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,
HAVERSTOCK & OWENS LLP

Dated: April 3, 2002

By: Jonathan O. Owens
Jonathan O. Owens
Reg. No.: 37,902

Attorneys for Applicants

FORM PTO-1449
(Modified)U.S. Department of Commerce
Patent and Trademark Office

Attorney Docket No.: FIVER-00104

Serial No.: 10/015,736

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use Separate Sheets If Necessary)

Applicant: Weiti Wu *et al.*

(37 CFR § 1.98(b))

Filing Date: December 12, 2001

Group Art Unit: 3662

U.S. PATENT DOCUMENTS

Examiner Initials		Serial / Patent Number	Issue Date	Applicant / Patentee	Class	Subclass	Filing Date
	AA	6,049,777	04/11/00	Sheena et al.	705	10	03/14/97
	AB	5,982,799	11/09/99	Bour et al.	372	50	03/17/97
	AC	5,930,436	07/27/99	Okamura et al.	385	127	06/03/97
	AD	5,892,615	04/06/99	Grubb et al.	359	341	03/17/97
	AE	5,857,053	01/05/99	Kane	385	127	06/17/97
	AF	5,786,915	07/28/98	Scobey	359	127	10/22/96
	AG	5,717,799	02/10/98	Robinson	385	37	10/10/96
	AH	5,696,615	12/09/97	Alexander	359	134	11/13/95
	AI	5,689,595	11/18/97	Pan	385	27	01/17/96
	AJ	5,627,934	05/06/97	Muhs	385	127	08/03/94
	AK	5,583,689	12/10/96	Cassidy et al.	359	341	06/1/93
	AL	5,568,310	10/22/96	Naito	359	341	05/04/95
	AM	5,530,710	06/25/96	Grubb	372	6	05/15/95
	AN	5,513,033	04/30/96	Bricheno et al.	359	341	05/20/93
	AO	5,499,132	03/12/96	Tojo et al.	359	281	05/12/93
	AP	5,473,714	12/05/95	Vengsarkar	385	43	04/29/94
	AQ	5,473,713	12/05/95	Ronarc'H et al.	385	28	07/25/94
	AR	5,467,218	11/14/95	Takeda et al.	359	341	07/29/94
	AS	5,430,572	07/04/95	DiGiovanni et al.	359	341	09/30/93
	AT	5,415,730	05/16/95	Canning et al.	216	17	12/14/93
	AU	5,363,385	11/08/94	Heidemann	372	6	02/19/93
	AV	5,333,232	07/26/94	Yanagawa et al.	385	127	03/16/93
	AW	5,321,790	06/14/94	Takahashi et al.	385	140	04/02/92
	AX	5,311,606	05/10/94	Asakura et al.	385	33	02/05/93
	AY	5,283,686	02/01/94	Huber	359	337	07/27/92
	AZ	5,260,823	11/09/93	Payne et al.	359	341	01/28/93
	BA	5,210,808	05/11/93	Grasso et al.	385	27	05/14/91
	BB	5,179,603	01/12/93	Hall et al.	385	24	03/18/91
	BC	5,170,447	12/08/92	Heidemann	385	24	03/25/91
	BD	5,115,338	05/19/92	DiGiovanni et al.	359	337	04/12/91
	BE	5,067,789	11/26/91	Hall et al.	385	27	02/14/91
	BF	5,054,874	10/08/91	Hill et al.	385	28	12/17/90
	BG	4,931,076	06/05/90	Berkey	65	4.2	06/09/88
	BH	4,758,064	07/19/88	Neefe	350	96.23	08/15/86

Examiner:

Date Considered:

EXAMINER:

Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

FORM PTO-1449
(Modified)U.S. Department of Commerce
Patent and Trademark Office

Attorney Docket No.: FIVER-00104

Serial No.: 10/015,736

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use Several Sheets If Necessary)

Applicant: Weiti Wu *et al.*

Filing Date: December 12, 2001

Group Art Unit: 3662

(37 CFR § 1.98(b))

U.S. PATENT DOCUMENTS

Examiner Initials		Serial / Patent Number	Issue Date	Applicant / Patentee	Class	Subclass	Filing Date
	BI						
	BJ						
	BK						
	BL						

FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS

		Document Number	Publication Date	Country / Patent Office	Class	Subclass	Translation	
							Yes	No
	BM	JP 61-279805	12/10/86	JP	G02B	6/10		X
	BN	JP 11-326668	11/26/99	JP	G02B	6/16		X
	BO	JP 11-183736	07/09/99	JP	G02B	6/00		X
	BP							
	BQ							

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

	BR	Chen, L.R. et al., "Transmission Filters with Multiple Flattened Passbands Based on Chirped Moire Gratings," IEEE Photonics Technology Letters, Vol. 10, No. 9, September 1998, pp 1283-1285.
	BS	Ortega, B. et al., "Accurate tuning of mismatched twin-core fiber filters," Optics Letters, Vol. 23, No. 16, Aug. 15, 1998, pp 1277-1279.
	BT	Ortega, B. et al., "Characteristics of Mismatched Twin-Core Fiber Spectral Filters," IEEE Photonics Technology Letters, Vol. 10, No. 7, Jul. 1998, pp 991-993.
	BU	Agrawal, G.P., "Fiber-Optic Communication Systems," Rochester, New York, 1997, pp 414-415.
	BV	Haus, H.A., "Waves and Fields in Optoelectronics," Prentice-Hall, Inc., Englewood Cliffs, NJ, 1984, pp 197-234.
	BW	Kawakami, Shojiro et al., "Characteristics of Cutoff Modes in a Symmetrical Five Layer Slab Optical Waveguide with Low-Index Intermediate Layers," Research Institute of Electrical Communication in Japan, Vol. 57-C, No. 9, 1974, pp. 121-128.
	BX	Safaii, Jazi et al., "Analysis and design of a narrowband all-fiber spectral filter made of step-index and W-type fibers," SOUTHEASTCON '89 Proceedings, Energy and Information Technologies in the Southeast, pp. 1195-1199, vol. 3, NY, NY.
	BY	
	BZ	
	CA	
	CB	
	CC	
	CD	
	CE	
	CF	
	CG	

Examiner:

Date Considered:

EXAMINER:

Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

RECEIVED
APR 18 2002
TC 1700